

**For:** State and County Offices

**PS-3553, USPS Coding Accuracy Support System (CASS) Summary Report  
and the Certification Process Comparing SCIMS to the USPS Database**

**Approved by:** Deputy Administrator, Farm Programs



**1 Overview**

**A Background**

County Offices will be provided PS-3553 every 3 months to use with bulk mailings to receive the maximum discounts. The CASS certification process compares customers' addresses entered by the County Office in SCIMS or AS/400, "Other Name and Address" file, to the USPS database. Addresses that match are assigned ZIP+4 and bar codes.

The FSA customer name and address ZIP+4 code process is revalidated every 3 months to ensure that County Offices continue to receive the ZIP+4 automation rate for bulk mailings.

PS-3553 is:

- a KC-ADC computer-generated form that is automatically produced when address records are processed using CASS-certified software
- valid for 3 months from the date the name and address list is matched against the USPS database and coded.

**B Purpose**

This notice:

- provides County Offices with a current PS-3553 (CASS certificate) to use with bulk mailings effective upon receiving this notice
- informs County Offices to check (✓) the PS Form 3602-EZ, Move Update Method, "NCOA Link"
- provides State and County Offices with required actions to be completed immediately
- obsoletes Notice CM-730.

Disposal Date	Distribution
March 1, 2014 11-13-13	State Offices; State Offices relay to County Offices

## 2 Using CASS/Move Update Certification

### A National Certification

USPS regulations permit the KC-ADC name and address file to be treated as 1 mailing. 1-CM, paragraphs 295 and 296 provide County Offices with the procedure to process the KC-ADC, ZIP+4 validation file. PS-3553 shall be submitted with each bulk mailing to USPS to receive the automated discount rate. See 5-AS for mailing requirements and rates.

**Note:** County Offices experiencing difficulty obtaining local USPS approval of PS-3553 should:

- refer local postal representative to Domestic Mail Manual A950.5.2 and A950.5.4
- have local postal representative call the USPS CASS Certification Department at 800-642-2914
- forward additional problems to Lisa Berry, FSA, PECD, Common Provisions Branch.

**In addition** to the CASS certification, FSA is **required** to run a separate certification process that compares customers' addresses entered by the County Office in SCIMS to the USPS database for accuracy. This process is run through MSD by a private contractor. The contractor for the 3-month period, which runs concurrently with PS-3553, uses the Move Update Method "NCOA link". This information **must** be provided by checking (✓) the PS Form 3602-EZ, Move Update Method, "NCOA Link", that is used for the bulk mailing, as follows.

Move Update Method:						
<input type="checkbox"/> Ancillary Service Endorsement	<input type="checkbox"/> FASTforward	<input checked="" type="checkbox"/> NCOALink	<input type="checkbox"/> ACS	<input type="checkbox"/> Alternative Method	<input type="checkbox"/> Multiple	

### B Obtaining Automation Rate

See Exhibit 1 for a current copy of PS-3553. To obtain the ZIP+4 automation rate, PS-3553 shall be:

- reproduced locally by County Offices
- submitted with **each** mailing to USPS.

### 3 Required Action

#### A State Office Action

State Offices shall:

- ensure that County Offices are immediately informed of the contents of this notice
- ensure that County Offices follow 1-CM, paragraphs 295 and 296 to process the ZIP+4 download, print Report MAB072-R001, and correct records identified on the report
- direct any questions about this notice to Rick Blackwood by either of the following:
  - e-mail at **rick.blackwood@wdc.usda.gov**
  - telephone at 202-720-5422.

#### B County Office Action

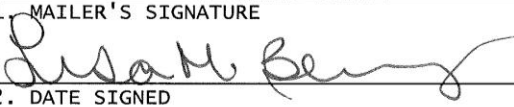
County Offices shall:

- follow 1-CM, paragraphs 295 and 296 to process the ZIP+4 download, print Report MAB072-R001, and correct records identified on the report
- contact the State Office if there are any questions or problems making the corrections.

**Note:** Records that do not pass the validation process shall be updated immediately, as payments will be rejected if addresses are not correct.

## Example of PS-3553, USPS CASS Summary Report

This is an example of the new PS-3553 to be inserted after the ZIP+4 process is run.

USPS CODING ACCURACY SUPPORT SYSTEM (CASS) SUMMARY REPORT					
<b>A. SOFTWARE</b>					
1. CASS CERTIFIED COMPANY NAME PITNEY BOWES SOFTWARE INC.		2. CASS CERT. SOFTWARE NAME/VERSION CODE-1 PLUS FOR IBM MAINFRAME 3.07.00.N		3. CONFIG MMM	
4. Z4CHANGE CERTIFIED CO. NAME		5. Z4CHANGE SOFTWARE NAME/VERSION		6. CONFIG	
7. DIRECTDPV CERTIFIED CO NAME		8. DIRECTDPV CERT SFTW NAME/VERSION		9. CONFIG	
10. ELOT CERTIFIED COMPANY NAME PITNEY BOWES SOFTWARE INC.		11. ELOT CERT. SOFTWARE NAME/VERSION CODE-1 PLUS 3.07.00.N		12. CONFIG MMM	
<b>B. LIST</b>					
1. LIST PROCESSOR'S NAME		2. DATE LIST PROCESSED		3. DATE OF DATABASE USED	
		A. MASTER 11/08/2013		A. ZIP 4 OCTOBER 2013	
		B. Z4CHANGE		B. Z4CHANGE	
		C. DIRECTDPV		C. DIRECTDPV	
		D. ELOT 11/08/2013		D. ELOT OCTOBER 2013	
4. LIST NAME OR ID NO.		5. NUMBER OF LISTS		6. TOTAL RECORDS SUBMITTED 12048413	
<b>C. OUTPUT</b>					
OUTPUT RATING	1. TOTAL CODED	2. VALID (FROM-TO)		1. TOTAL CODED	2. VALID (FROM-TO)
A. ZIP 4/DPV CONFIRMED	11283123	11/08/2013-05/07/2014	D. 5-DIGIT CODED	11585195	11/08/2013-11/08/2014
B. Z4CHANGE/ PROCESSED	0	N/A	E. CR-RT CODED	11583928	11/08/2013-02/06/2014
C. DIRECTDPV	0	N/A	F. ELOT ASSIGNED	11283053	11/08/2013-02/06/2014
<b>D. MAILER</b>					
1. MAILER'S SIGNATURE 			3. NAME & ADDRESS OF MAILER LISA BERRY COMMON PROVISIONS BRANCH STOP 0517 1400 INDEPENDENCE AVENUE, SW WASHINGTON DC, 20250-0517		
2. DATE SIGNED 11/12/2013					
I CERTIFY THAT THE MAILING SUBMITTED WITH: THIS FORM HAS BEEN CODED (AS INDICATED ABOVE) USING CASS-CERTIFIED SOFTWARE MEETING ALL OF THE REQUIREMENTS LISTED IN THE DMM SECTION 708.					
<b>E. QUALITATIVE STATISTICAL SUMMARY (QSS)</b>					
FOR INFORMATIONAL PURPOSES ONLY: QSS IS SOLELY MADE AVAILABLE FOR THE LIST PROCESSOR'S REVIEW AND ANALYSIS. THIS INFORMATION IS NOT TO BE CONSIDERED BY THE POSTAL SERVICE PERSONNEL IN DETERMINING RATE ELIGIBILITY UNDER ANY CIRCUMSTANCES. SEE FOLLOWING PAGE(S) FOR A DETAILED EXPLANATION.					
HIGH RISE DEFAULT	HIGH RISE EXACT	RURAL RTE DEFAULT	RURAL RTE EXACT	LACSLINK	EWS
142944	332970	110	98817	4844	0
				SUITELINK	4339
PRIVACY NOTICE: FOR INFORMATION REGARDING OUR PRIVACY POLICY, VISIT USPS.COM.					
PS FORM 3553, MAY 2010 (PAGE 1 OF 2)			AT WWW.USPS.COM/FORMS/ALLFORMS.HTM		

## Example of PS-3553, USPS CASS Summary Report (Continued)

## INSTRUCTIONS

## A. SOFTWARE

- 1,4,7. COMPANY NAMES: ENTER THE NAME FOR EACH KIND OF SOFTWARE, AS IT APPEARS ON THE CASS/MASS CERTIFICATE.
  - 2,5,8. SOFTWARE NAME & VERSION: ENTER NAME AND VERSION USED FOR EACH KIND OF SOFTWARE, AS IT APPEARS ON THE CASS/MASS CERTIFICATE.
  - 3,6,9. CONFIGURATION: ENTER THE SPECIFIC SOFTWARE CONFIGURATION PARAMETER SETTINGS AS IT APPEARS ON THE CASS/MASS CERTIFICATE.
- NOTE: IF INFORMATION ENTERED IN THIS SECTION REPRESENTS THE LIST PROCESSING OF MORE THAN ONE CERTIFIED COMPANY, ATTACH A LIST OF COMPANY NAMES, SOFTWARE NAMES AND VERSIONS, AS WELL AS THE CONFIGURATION TO CODE THE ADDRESS INFORMATION USED IN THE MAILING.

## B. LIST

1. LIST PROCESSOR'S NAME: ENTER THE NAME OF THE COMPANY THAT CODED THE ADDRESS LIST(S) AND/OR PERFORMED ZIP 4/DPV CONFIRMATION, USING CASS CERTIFIED SOFTWARE. ATTACH A LIST IF ADDITIONAL SPACE IS REQUIRED.
2. DATE LIST PROCESSED: ENTER THE PROCESSING DATE FOR EACH LIST. IF MULTIPLE LISTS, ENTER THE OLDEST DATE FROM THE LISTS.
3. DATE OF DATABASE PRODUCT USED: ENTER THE VERSION DATE OF EACH DATABASE PACKAGE USED FOR PROCESSING. IF MULTIPLE LISTS, ENTER THE OLDEST VERSION DATE FROM THE LISTS.
4. LIST NAME OR ID NO: PRINT THE NAME OR IDENTIFICATION NUMBER OF THE ADDRESS LIST. IF MORE THAN ONE LIST IS USED, LEAVE BLANK. IF THE IDENTIFICATION NUMBER IS USED, THE NUMBER MUST BE PRECEDED BY 'ID#'.
5. NUMBER OF LISTS: ENTER THE NUMBER OF LISTS USED TO PRODUCE THE MAILING.
6. TOTAL RECORDS SUBMITTED FOR PROCESSING: ENTER THE TOTAL NUMBER OF ADDRESS RECORDS (FROM ALL LISTS IN ITEM B5) SUBMITTED AT THE TIME THE LIST(S) WAS CODED.

## C. OUTPUT

1. TOTAL CODED: ENTER THE TOTAL NUMBER CODED.
2. VALIDATION PERIOD: ENTER THE EFFECTIVE DATES AS SHOWN BELOW.

## ZIP 4 CODED/DPV CONFIRMED

FROM DATE - 30 DAYS BEFORE (THE 15TH OF EACH MONTH OR BIMONTHLY) OR NO LATER THAN 105 DAYS AFTER THE FILE DATE.

TO DATE - 180 DAYS AFTER FROM THE ZIP 4 'FROM' DATE.

## DIRECTDPV

FROM DATE - 30 DAYS BEFORE (THE 15TH OF EACH MONTH OR BIMONTHLY) OR NO LATER THAN 105 DAYS AFTER THE ZIP 4 PRODUCT FILE DATE.

TO DATE - 180 DAYS AFTER THE DIRECTDPV/ZIP 4 VALID 'FROM' DATE.

## FIVE-DIGIT CODED

FROM DATE - 30 DAYS BEFORE (THE 15TH OF EACH MONTH OR BIMONTHLY) OR NO LATER THAN 105 DAYS AFTER THE ZIP 4, FIVE-DIGIT ZIP, OR THE CARRIER ROUTE PRODUCT DATE.

TO DATE - 365 DAYS AFTER FROM THE FIVE-DIGIT VALID 'FROM' DATE.

## TOTAL CARRIER ROUTE CODED

FROM DATE - 30 DAYS BEFORE OR UP TO 105 DAYS AFTER THE ZIP 4, FIVE-DIGIT ZIP, OR THE CARRIER ROUTE PRODUCT DATE (THE 15TH OF EACH MONTH OR BIMONTHLY) OR UP TO 105 DAYS AFTER THE FILE DATE.

TO DATE - 90 DAYS AFTER THE CARRIER ROUTE VALID 'FROM' DATE.

## ELOT SEQUENCED NO. ASSIGNED

FROM DATE - 30 DAYS BEFORE OR UP TO 105 DAYS AFTER THE ELOT FILE PRODUCT DATE (THE 15TH OF EACH MONTH OR BIMONTHLY).

TO DATE - 90 DAYS AFTER THE ELOT VALID 'FROM' DATE.

## D. MAILER

1. SIGNATURE: SIGNATURE OF INDIVIDUAL WHO PROCESSED THE LIST, OR THE MAILER'S REPRESENTATIVE.
2. DATE SIGNED: ENTER THE DATE THIS FORM IS SIGNED.
3. NAME & ADDRESS OF MAILER: ENTER THE NAME AND ADDRESS OF THE INDIVIDUAL WHOSE SIGNATURE APPEARS IN ITEM D1.

## Example of PS-3553, USPS CASS Summary Report (Continued)

## E. QUALITATIVE STATISTICAL SUMMARY (QSS)

THIS INFORMATION ALLOWS MAILERS AND LIST PROCESSORS TO EVALUATE THE QUALITY OF THEIR ADDRESS LIST PROCESSED THROUGH CASS SOFTWARE BEFORE ITS CONTENTS ENTER THE MAILSTREAM. A SIGNIFICANT NUMBER OF HIGH RISE AND/OR RURAL ROUTE DEFAULT MATCHES, ALTHOUGH THESE ADDRESSES REMAIN ELIGIBLE FOR POSTAL AUTOMATION RATE DISCOUNTS AT THIS TIME, INCREASE THE COSTS AND REDUCE THE EFFICIENT DELIVERY OF THIS MAIL. MAILERS SHOULD RESEARCH TO OBTAIN SECONDARY UNIT DESIGNATOR ADDRESS INFORMATION OR HIGHRISE ADDRESSES AND SPECIFIC BOX NUMBER INFORMATION FOR RURAL ROUTE ADDRESSES WHICH ARE CODED TO DEFAULT RECORDS ON THE NATIONAL ZIP 4 FILE.

## HIGHRISE DEFAULT/RR DEFAULT

ENTRIES IN THIS BOX SHOW THE NUMBER OF ADDRESSES THAT WERE DEFAULT MATCHED. DEFAULTS ARE MATCHES MADE TO ADDRESSES THAT CONTAIN INVALID/MISSING SECONDARY ADDRESS OR BOX INFORMATION. A HIGHRISE DEFAULT CONTAINS THE BUILDING STREET ADDRESS IN THE PRIMARY RANGE FIELD AND SPACES IN THE SECONDARY RANGE FIELD. A RURAL ROUTE DEFAULT CONTAINS THE ROUTE NUMBER IN THE PRIMARY NAME BUT ALSO HAS SPACES IN THE PRIMARY ADDRESS RANGE.

## LACSLINKŽ SYSTEM

ENTRIES IN THIS BOX SHOW THE NUMBER OF ADDRESSES WHICH HAVE BEEN CONVERTED THROUGH THE LACSLINK PROCESS. LACSLINK IS A DATA PRODUCT PROVIDED BY THE POSTAL SERVICE TO ALLOW ADDRESSES THAT HAVE BEEN CONVERTED DUE TO USPS CHANGES OR FOR 911 EMERGENCY SYSTEMS TO BE LINKED WITH THEIR NEW ADDRESS.

## EARLY WARNING SYSTEM (EWS)

ENTRIES IN THIS BOX SHOW THE NUMBER OF ADDRESSES ON THE PROCESSED ADDRESS LIST THAT ARE NEW ADDRESSES NOT IN THE CURRENT US POSTAL SERVICE'S ZIP 4 FILE. THESE ADDRESSES ARE, HOWEVER, VALID ADDRESSES AS FORMATTED AND SHOULD NOT BE CHANGED IN ANY WAY SINCE THE POSTAL SERVICE WILL ASSIGN ZIP 4'S TO THESE ADDRESSES ON THE NEXT MONTHLY ZIP 4 FILE.

## SUITELINK SYSTEM

ENTRIES IN THIS BOX SHOW THE NUMBER OF ZIP 4/DPV CONFIRMED ADDRESSES THAT MATCHED TO A HIGHRISE DEFAULT, AND THE SUITELINK PROCESS RETURNED THE APPROPRIATE SUITE NUMBER. ONLY SUITELINK ENABLED SOFTWARE WILL RETURN A VALUE IN THIS BOX (CHECK WITH YOUR SOFTWARE VENDOR FOR OBTAINING THIS OPTION). THESE ADDRESS RECORDS ARE VALID DELIVERY POINTS BY THE U. S. POSTAL SERVICE. ADDRESSES THAT ARE NOT CONFIRMED BY DPV ARE EITHER NEW ADDRESSES NOT AVAILABLE ON THE CURRENT DELIVERY SEQUENCE FILE, OR ARE NOT VALID AND THE LIST HOLDER SHOULD FURTHER INVESTIGATE TO DETERMINE THE ACCURACY OF THESE ADDRESSES. MAILERS SHOULD MAKE EVERY EFFORT TO ENSURE THE QUALITY OF THEIR ADDRESS LIST(S).

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AT [WWW.USPS.COM/FORMS/ALLFORMS.HTM](http://WWW.USPS.COM/FORMS/ALLFORMS.HTM)